

IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF CALIFORNIA

UBS FINANCIAL SERVICES INC.,

No. MC 14-80124 WHA

Petitioner,

v.

**ORDER REQUESTING  
INFORMATION FROM  
PETITIONER**

MACARIO MONTOYA,

Respondent.


In its petition to confirm the arbitration award against respondent Macario Montoya (Dkt. No. 4), UBS Financial Services Inc. stated that it loaned Montoya \$136,062 “[i]n connection with his decision to join UBS.” The current record, however, does not answer the following three questions:

- Was the Employee Forgivable Loan given as part of Montoya’s compensation for his employment with UBS, or was the loan was given as a benefit in addition to his compensation?
- Specifically, what was Montoya’s compensation apart from his Employee Forgivable Loan?
- To what extent did other financial advisors at UBS (in the same position as was Montoya) elect *not* to take the Employee Forgivable Loan?

1 Accordingly, UBS will please respond to the aforementioned questions, in no more than  
2 **FIVE PAGES**. UBS should also append any supporting declaration and exhibits in answering the  
3 questions above. The filing deadline for UBS's response, along with any supporting declaration  
4 or exhibits, is **10 AM ON JUNE 23, 2014**.

5  
6 **IT IS SO ORDERED.**

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8 Dated: June 19, 2014.

  
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WILLIAM ALSUP  
UNITED STATES DISTRICT JUDGE